

# DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

☒ Declaration Submitted with Initial Filing

OR

☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16(e)) required)

Attorney Docket Number: 100.216

First Named Inventor: AYE, Tin M.

COMPLETE IF KNOWN

Application Number:

Filing Date:

Group Art Unit:

Examiner Name:

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

3-D HLCD SYSTEM AND METHOD OF MAKING

the specification of which

☒ Is attached hereto

OR

☐ was filed on August 7, 2000 as United States Application Number or PCT International Application Number 60/223,663 and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not  
Claimed

Certified Copy  
Attached?

☐

☐ Yes ☐ No

(Number)

(Country)

(Month/Day/Year Filed)

☐

☐ Yes ☐ No

(Number)

(Country)

(Month/Day/Year Filed)

☐

☐ Yes ☐ No

(Number)

(Country)

(Month/Day/Year Filed)

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

60/223,663

8/7/00

(Application Number)

(Month/Day/Year Filed)

☐ Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

(Application Number)

(Month/Day/Year Filed)

## DECLARATION - Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT International application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to the patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Application(s)

(Number)	(Month/Day/Year Filed)	(Patent Number (if applicable))
(Number)	(Month/Day/Year Filed)	(Patent Number (if applicable))

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

James E. Nilles, Reg. No. 16,663  
 Andrew J. Nilles, Reg. No. 31,786  
 Jay G. Durst, Reg. No. 41,723  
 Lisa M. Gehrke, Reg. No. 38,888  
 Stephen Michael Patton, Reg. No. 36,235

Thaddeus C. Stankowski, Reg. No. 45,522  
 Matthew C. Loppnow, Reg. No. 45,314  
 Matthew M. Eslami, Reg. No. 45,488  
 Lisa A. Brzycki, Reg. No. 40,926

Direct all telephone calls to Lisa M. Gehrke at telephone number (414) 276-0977, facsimile number (414) 276-0982.

Direct all correspondence to: Andrew J. Nilles  
 NILLES & NILLES, S.C.  
 Firstar Center, Suite 2000  
 777 East Wisconsin Avenue  
 Milwaukee, Wisconsin 53202-5345

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of Sole or First Inventor:

☐ A petition has been filed for this unsigned inventor

Given Name (first & middle (if any)) & Family Name/Surname: Tin M. AYE

Inventor's Signature: Tin M. Aye Date: 7/26/01

Residence (city, state, country): Mission Viejo, California, U.S.A.

Citizenship: U.S.A.

Post Office Address: 24202 Carrillo Drive

(city, state, zip, country): Mission Viejo, California 92691, U.S.A.

Full name of Second Inventor, if any:

☐ A petition has been filed for this unsigned inventor

Given Name (first & middle (if any)) & Family Name/Surname: Kevin H. YU


Inventor's Signature: Kevin H. Yu Date: 7/23/01

Residence (city, state, country): Temple City, California, U.S.A.

Citizenship: U.S.A.

Post Office Address: 9708 Dalnes Drive

(city, state, zip, country): Temple City, California 91780, U.S.A.

**DECLARATION – Utility or Design Patent Application****Full name of Third Inventor, if any:**☐ A petition has been filed for this unsigned inventor**Given Name (first & middle (if any)) & Family Name/Surname:** Gajendra D. SAVANT**Inventor's Signature:** **Date:** \_\_\_\_\_**Residence (city, state, country):** Rancho Palos Verdes, California, U.S.A.**Citizenship:** U.S.A.**Post Office Address:** 26640 Basswood Street**(city, state, zip, country):** Rancho Palos Verdes, California 90275, U.S.A.

G:\Data\CLIENT\100216\Decl2.doc

T07080 T2002660



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JANUARY 18, 2001

PTAS

NILLES & NILLES, S.C.  
ANDREW J. NILLES  
FIRSTAR CENTER, SUITE 2000  
777 EAST WISCONSIN AVENUE  
MILWAUKEE, WI 53202



\*101519908A\*

**UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/09/2000

REEL/FRAME: 011239/0290  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
AYE, TIN M.

DOC DATE: 10/26/2000

ASSIGNOR:  
YU, KEVIN H.

DOC DATE: 10/26/2000

ASSIGNOR:  
SAVANT, GAJENDRA D.

DOC DATE: 10/26/2000

ASSIGNEE:  
PHYSICAL OPTICS CORPORATION,  
CORPORATION OF THE STATE OF  
CALIFORNIA  
20600 GRAMERCY PLACE  
TORRANCE, CALIFORNIA 90501

SERIAL NUMBER: 60223663  
PATENT NUMBER:

FILING DATE: 08/07/2000  
ISSUE DATE:

011239/0290 PAGE 2

JOANN STEWART, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

11-17-2000



101519908

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

**Submission Type**

11-9-00

☒ New

☐ Resubmission (Non-Recordation)

Document ID#

☐ Correction of PTO Error

Reel #

Frame #

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**Conveyance Type**

☒ Assignment

☐ Security Agreement

☐ License

☐ Change of Name

☐ Merger

☐ Other

**U.S. Government**

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File

☐ Secret File

**Conveying Party(ies)**

☒ Mark if additional names of conveying parties attached

Execution Date  
Month Day Year

Name (line 1) Aye, Tin M.

1010262000

Name (line 2)

**Second Party**

Execution Date  
Month Day Year

Name (line 1) Yu, Kevin H.

1010262000

Name (line 2)

**Receiving Party**

☐ Mark if additional names of receiving parties attached

Name (line 1) Physical Optics Corporation

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2) corporation of the state of California

Address (line 1) 20600 Gramercy Place

Address (line 2)

Address (line 3) Torrance

City

CA/USA

State/Country

90501

Zip Code

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

08/06 0001 HLANEW1 00000015 09920071

02 FC 581 40.00 DP

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Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

**Correspondent Name and Address**

Area Code and Telephone Number (414) 276-0977

Name Andrew J. Nilles

Address (line 1) Nilles & Nilles, S.C.

Address (line 2) Firststar Center, Suite 2000

Address (line 3) 777 East Wisconsin Avenue

Address (line 4) Milwaukee, WI 53202

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments.

# 1

**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number(s)**

60223663

**Patent Number(s)**

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

**Patent Cooperation Treaty (PCT)**

Enter PCT application number  
only if a U.S. Application Number  
has not been assigned.

PCT PCT PCT  
PCT PCT PCT

**Number of Properties**

Enter the total number of properties involved.

# 1

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:  
Deposit Account

Enclosed ☒ Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# 14-1080

Authorization to charge additional fees:

Yes ☒ No ☐

**Statement and Signature**

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.*

Lisa M. Gehrke, Reg. No. 38,888

Name of Person Signing

Signature

11/06/2000

Date

RECORDATION FORM COVER SHEET  
CONTINUATION  
PATENTS ONLY

U.S. Department of Commerce  
Patent and Trademark Office  
PATENT

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Execution Date  
Month Day Year

Name (line 1) Savant, Gajendra D.

10262000

Name (line 2)

Execution Date  
Month Day Year

Name (line 1)

Name (line 2)

Execution Date  
Month Day Year

Name (line 1)

Name (line 2)

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☐ Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

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Name (line 2)

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Zip Code

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)





## ASSIGNMENT

WHEREAS, we, Tin M. Aye, Kevin H. Yu and Gajendra D. Savant, have made a certain new and useful invention for which we are about to make application for Letters Patent of the United States, which application may be identified in the United States Patent Office as Serial No. 60/223,663, filed August 7, 2000 and entitled:

### 3D HLCD SYSTEM AND METHOD OF MAKING

(Executed: 10/12/00 & 10/26/00)

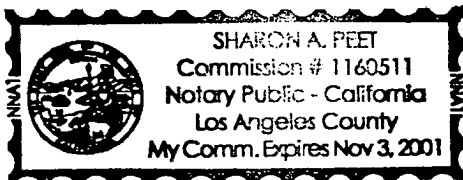
WHEREAS, Physical Optics Corporation, a corporation organized and existing under and by virtue of the laws of the State of California and having its principal place at 20600 Gramercy Place, Torrance, California 90501, U.S.A., is desirous of acquiring the entire interest in and to said invention, said application and the Letters Patent to be obtained therefor;

NOW, THEREFORE, for and in consideration of One Dollar and other good and valuable consideration to us in hand paid, the receipt and sufficiency whereof are hereby acknowledged, we have sold, assigned, and set over and by these presents do hereby sell, assign, and set over unto the said Physical Optics Corporation, and said assignee's legal representative, successors and assigns, the entire right, title and interest in and to any and all applications including the aforesaid application, for Letters Patent heretofore and hereafter filed in the United States or any other country and which may be based in whole or in part on said inventions and discoveries, and in and to any and all Letters Patent heretofore or hereafter granted by the United States or any other country and which may be based in whole or in part on said inventions and discoveries, said assignment including the right to file and prosecute any and all such applications and also including the right to sue and recover for any and all such applications and also including the right to sue and recover for any and all infringements of said patents; and request the Commissioner of Patents to issue said Letters Patent to the above-mentioned assignee agreeably with the terms of this assignment.

WE HEREBY AUTHORIZE the law firm of Nilles & Nilles, S.C. the power to insert in this instrument any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent Office for recordation of this document.

UPON SAID CONSIDERATION, we do hereby covenant for ourselves and our heirs, legal representatives and assigns that neither we nor any of our said heirs, legal representatives or assigns have or will execute any instrument or perform any act in conflict herewith and that we or our said heirs, legal representatives and assigns will at all times do such acts and execute such papers, without expense to ourselves, as may be necessary or desirable in order to fully protect said inventions and discoveries for the benefit of said assignee, its successors or assigns, and to otherwise carry into full force and effect the text and interest of this assignment.

IN WITNESS WHEREOF, we have hereunto set our hands and affixed our seals this 10/26 day of \_\_\_\_\_, 2000.



State of California )  
 ) ss.  
County of Los Angeles )

Tin M. Aye (SEAL)

Kevin H. Yu (SEAL)

Gajendra D. Savant (SEAL)

On this 26 day of October, 2000 before me, a notary public in and for said county, appeared Tin M. Aye, Kevin H. Yu, and Gajendra D. Savant, who are personally known to me to be the same persons whose names are subscribed to the foregoing instrument, and they acknowledged that they signed, sealed and delivered the said instrument as their free and voluntary act for the uses and purposes therein set forth.

Sharon A. Peet (SEAL)  
Notary Public  
My Commission Expires: Nov. 3, 2001